



1/10
FIG. 1

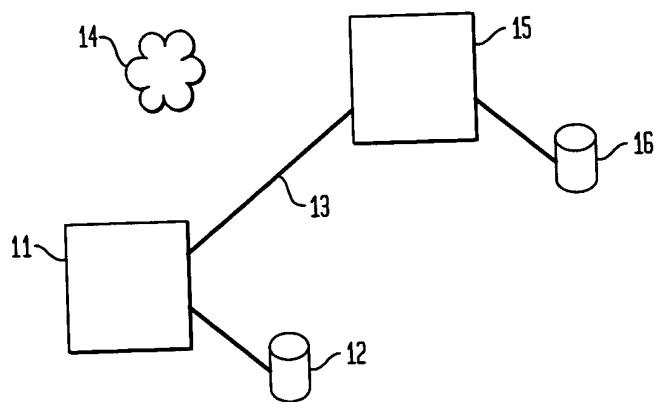


FIG. 2

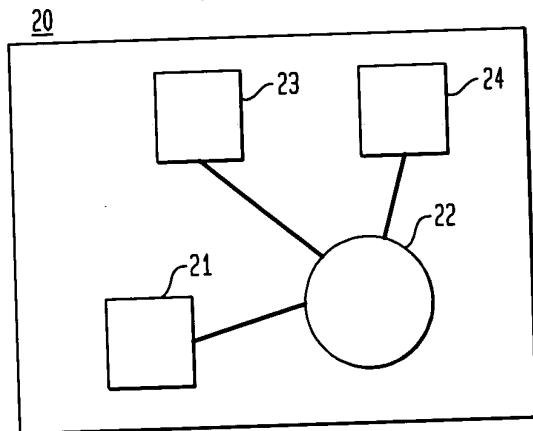


FIG. 3

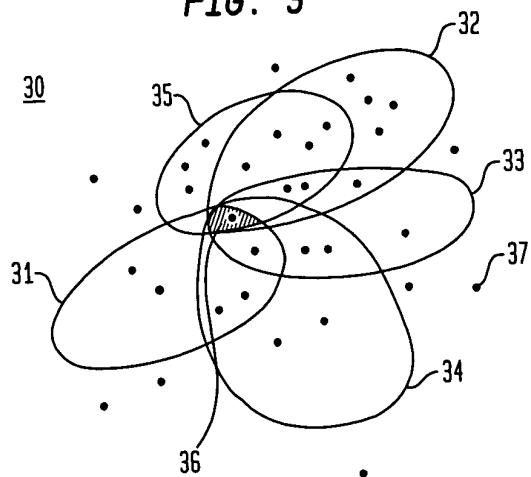


FIG. 4

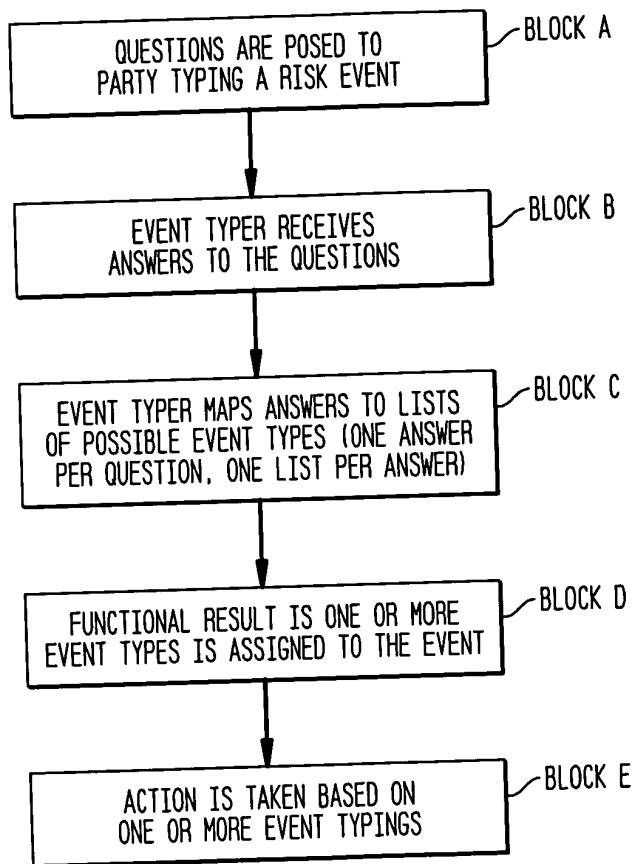


FIG. 5

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Back Forward Stop Refresh Home

Question 1 Who (what) initiated the event? Employee (Internal) w/ Confederates

Note: In case of litigation, the Plaintiff is usually the IMPACTED party, NOT the Initiator. In fact, the Plaintiff usually SUES the Initiator. Event Type is based on Plaintiff's allegation, in addition, even if the allegation is false

Question 2 Who (what) was benefit to Initiator? Personal Benefit

Question 3 Who (what) was Impacted? Client

Question 4 What Impact was incurred by JPMC, or was JPMC liable for? Financial (Indirect, to client/3rd Party)

Question 5 What the Initiator's role/ level of responsibility in the event? Employee Conducting Internal, Non-Fiduciary Task

Event types: Theft/Fraud (Internal)

Record: 4 of 1 4:44 PM

General View Start

FIG. 6A
 DECISION MAPPINGS OF COR "EVENT TYPE":
 QUESTION 1

| EVENT TYPE: | INITIATOR: |
|---|------------------------------------|
| THEFT/FRAUD (EXTERNAL) | EMPLOYEE (EXTERNAL) |
| THEFT/FRAUD (EXTERNAL) | EXTERNAL PERSON / ANYBODY |
| THEFT/FRAUD (EXTERNAL) | CLIENT |
| THEFT/FRAUD (EXTERNAL) | PARTNER CO-VENTURER |
| THEFT/FRAUD (EXTERNAL) | UNKNOWN |
| THEFT/FRAUD (INTERNAL) | EMPLOYEE (INTERNAL) |
| THEFT/FRAUD (INTERNAL) | EMPLOYEE (INTERNAL) w/CONFEDERATES |
| UNAUTHORIZED TRADING | EMPLOYEE (INTERNAL) |
| INFORMATION SECURITY | HACKER |
| PERSONAL SAFETY | EMPLOYEE (INTERNAL) |
| PERSONAL SAFETY | EXTERNAL PERSON / ANYBODY |
| PERSONAL SAFETY | CLIENT |
| PERSONAL SAFETY | UNKNOWN |
| EMPLOYEE RELATIONS | EMPLOYEE (INTERNAL) |
| DIVERSITY/ DISCRIMINATION | EMPLOYEE (INTERNAL) |
| DIVERSITY/ DISCRIMINATION | EMPLOYEE (INTERNAL) w/CONFEDERATES |
| NATURAL DISASTER | EXTERNAL FORCE (NATURAL) |
| NATURAL DISASTER | EXTERNAL FORCE (INFRASTRUCTURE) |
| TERRORISM/ POLITICAL | TERRORIST/ ACTIVIST |
| MALICIOUS DAMAGE | EMPLOYEE (INTERNAL) |
| MALICIOUS DAMAGE | EMPLOYEE (INTERNAL) w/CONFEDERATES |
| MALICIOUS DAMAGE | EMPLOYEE (EXTERNAL) |
| MALICIOUS DAMAGE | EXTERNAL PERSON / ANYBODY |
| MALICIOUS DAMAGE | CLIENT |
| MALICIOUS DAMAGE | PARTNER CO-VENTURER |
| MALICIOUS DAMAGE | HACKER |
| DISCLOSURE, SUITABILITY & FIDUCIARY | EMPLOYEE (INTERNAL) |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | EMPLOYEE (INTERNAL) |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | EMPLOYEE (INTERNAL) w/CONFEDERATES |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | CLIENT |
| IMPROPER BUSINESS PRACTICES (AS VICTIM) | EMPLOYEE (EXTERNAL) |
| TAX VIOLATION | EMPLOYEE (INTERNAL) |
| ADVISORY ACTIVITIES | EMPLOYEE (INTERNAL) |
| SPONSORSHIP & SELECTION | EMPLOYEE (INTERNAL) |
| REGULATORY MONITORING / REPORTING | EMPLOYEE (INTERNAL) |
| TRANSACTION PROCESSING | EMPLOYEE (INTERNAL) |
| CLIENT ACCOUNT ERROR | EMPLOYEE (INTERNAL) |
| SYSTEM FAILURE | COMPUTER OR DATA SYSTEM |
| VENDOR DISPUTE | EMPLOYEE (EXTERNAL) |

FIG. 6B
DECISION MAPPINGS OF COR "EVENT TYPE":
QUESTION 2

| EVENT TYPE: | BENEFIT TO INITIATOR: |
|---|--|
| THEFT/FRAUD (EXTERNAL) | PERSONAL BENEFIT |
| THEFT/FRAUD (INTERNAL) | PERSONAL BENEFIT |
| UNAUTHORIZED TRADING | PERSONAL BENEFIT |
| INFORMATION SECURITY | PERSONAL BENEFIT |
| INFORMATION SECURITY | NON-FINANCIAL PERSONAL BENEFIT/ MOTIVE |
| INFORMATION SECURITY | BENEFIT TO ANOTHER FIRM |
| PERSONAL SAFETY | NO BENEFIT INTENDED/ MISTAKE |
| EMPLOYEE RELATIONS | BENEFIT TO FIRM |
| DIVERSITY/ DISCRIMINATION | NON-FINANCIAL PERSONAL BENEFIT/ MOTIVE |
| NATURAL DISASTER | NO BENEFIT INTENDED/ MISTAKE |
| TERRORISM/ POLITICAL | PERSONAL BENEFIT |
| TERRORISM/ POLITICAL | NON-FINANCIAL PERSONAL BENEFIT/ MOTIVE |
| MALICIOUS DAMAGE | NON-FINANCIAL PERSONAL BENEFIT/ MOTIVE |
| DISCLOSURE, SUITABILITY & FIDUCIARY | BENEFIT TO FIRM |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | BENEFIT TO FIRM |
| IMPROPER BUSINESS PRACTICES (AS VICTIM) | BENEFIT TO ANOTHER FIRM |
| TAX VIOLATION | BENEFIT TO FIRM |
| ADVISORY ACTIVITIES | BENEFIT TO FIRM |
| SPONSORSHIP & SELECTION | BENEFIT TO FIRM |
| REGULATORY MONITORING / REPORTING | NO BENEFIT INTENDED/ MISTAKE |
| TRANSACTION PROCESSING | NO BENEFIT INTENDED/ MISTAKE |
| CLIENT ACCOUNT ERROR | NO BENEFIT INTENDED/ MISTAKE |
| SYSTEM FAILURE | NO BENEFIT INTENDED/ MISTAKE |
| VENDOR DISPUTE | BENEFIT TO FIRM |

6/10
FIG. 6C
DECISION MAPPINGS OF COR "EVENT TYPE":
QUESTION 3

| EVENT TYPE: | IMPACTED: |
|---|---|
| THEFT/FRAUD (EXTERNAL) | FIRM / SHAREHOLDERS |
| THEFT/FRAUD (EXTERNAL) | CLIENT |
| THEFT/FRAUD (EXTERNAL) | ANOTHER FIRM |
| THEFT/FRAUD (INTERNAL) | FIRM / SHAREHOLDERS |
| THEFT/FRAUD (INTERNAL) | CLIENT |
| THEFT/FRAUD (INTERNAL) | MEMBER OF GENERAL PUBLIC / ANYBODY |
| UNAUTHORIZED TRADING | FIRM / SHAREHOLDERS |
| INFORMATION SECURITY | FIRM / SHAREHOLDERS |
| INFORMATION SECURITY | EMPLOYEE |
| INFORMATION SECURITY | CLIENT |
| PERSONAL SAFETY | EMPLOYEE |
| PERSONAL SAFETY | CLIENT |
| PERSONAL SAFETY | MEMBER OF GENERAL PUBLIC / ANYBODY |
| EMPLOYEE RELATIONS | EMPLOYEE |
| DIVERSITY/ DISCRIMINATION | EMPLOYEE |
| DIVERSITY/ DISCRIMINATION | MEMBER OF GENERAL PUBLIC / ANYBODY |
| DIVERSITY/ DISCRIMINATION | FIRM / SHAREHOLDERS |
| NATURAL DISASTER | EMPLOYEE |
| NATURAL DISASTER | CLIENT |
| NATURAL DISASTER | MULTIPLE |
| NATURAL DISASTER | FIRM / SHAREHOLDERS |
| TERRORISM/ POLITICAL | EMPLOYEE |
| TERRORISM/ POLITICAL | CLIENT |
| TERRORISM/ POLITICAL | MULTIPLE |
| TERRORISM/ POLITICAL | FIRM / SHAREHOLDERS |
| MALICIOUS DAMAGE | EMPLOYEE |
| MALICIOUS DAMAGE | CLIENT |
| MALICIOUS DAMAGE | MEMBER OF GENERAL PUBLIC / ANYBODY |
| MALICIOUS DAMAGE | MULTIPLE |
| MALICIOUS DAMAGE | CLIENT |
| DISCLOSURE, SUITABILITY & FIDUCIARY | FIRM / SHAREHOLDERS |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | EMPLOYEE |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | CLIENT |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | ANOTHER FIRM |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | MEMBER OF GENERAL PUBLIC / ANYBODY |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | REGULATORY/ PUBLIC OR GOVERNMENTAL INTEREST |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | FIRM / SHAREHOLDERS |
| IMPROPER BUSINESS PRACTICES (AS VICTIM) | REGULATORY/ PUBLIC OR GOVERNMENTAL INTEREST |
| TAX VIOLATION | CLIENT |
| ADVISORY ACTIVITIES | FIRM / SHAREHOLDERS |
| SPONSORSHIP & SELECTION | MEMBER OF GENERAL PUBLIC / ANYBODY |
| REGULATORY MONITORING / REPORTING | REGULATORY/ PUBLIC OR GOVERNMENTAL INTEREST |
| REGULATORY MONITORING / REPORTING | FIRM / SHAREHOLDERS |
| TRANSACTION PROCESSING | CLIENT |
| TRANSACTION PROCESSING | ANOTHER FIRM |
| TRANSACTION PROCESSING | CLIENT |
| CLIENT ACCOUNT ERROR | FIRM / SHAREHOLDERS |
| SYSTEM FAILURE | CLIENT |
| SYSTEM FAILURE | ANOTHER FIRM |
| SYSTEM FAILURE | FIRM / SHAREHOLDERS |
| VENDOR DISPUTE | ANOTHER FIRM |
| VENDOR DISPUTE | |

7/10

FIG. 6D

DECISION MAPPINGS OF COR "EVENT TYPER":
QUESTION 4

| EVENT TYPE: | IMPACT TYPE: |
|---|---|
| THEFT/FRAUD (EXTERNAL) | FINANCIAL (DIRECT) |
| THEFT/FRAUD (EXTERNAL) | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| THEFT/FRAUD (EXTERNAL) | TRADING / MARKET IMPACT |
| THEFT/FRAUD (EXTERNAL) | PHYSICAL INJURY |
| THEFT/FRAUD (EXTERNAL) | PHYSICAL OR INTELLECTUAL PROPERTY LOSS / DAMAGE |
| THEFT/FRAUD (INTERNAL) | FINANCIAL (DIRECT) |
| THEFT/FRAUD (INTERNAL) | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| THEFT/FRAUD (INTERNAL) | PHYSICAL OR INTELLECTUAL PROPERTY LOSS / DAMAGE |
| THEFT/FRAUD (INTERNAL) | FINE / PENALTY |
| UNAUTHORIZED TRADING | TRADING / MARKET IMPACT |
| INFORMATION SECURITY | FINANCIAL (DIRECT) |
| INFORMATION SECURITY | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| INFORMATION SECURITY | HUMAN, PERSONAL, PRIVACY RIGHTS |
| PERSONAL SAFETY | PHYSICAL INJURY |
| EMPLOYEE RELATIONS | FINANCIAL (DIRECT) |
| EMPLOYEE RELATIONS | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| DIVERSITY/ DISCRIMINATION | PHYSICAL INJURY |
| DIVERSITY/ DISCRIMINATION | HUMAN, PERSONAL, PRIVACY RIGHTS |
| NATURAL DISASTER | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| NATURAL DISASTER | TRADING / MARKET IMPACT |
| NATURAL DISASTER | PHYSICAL INJURY |
| NATURAL DISASTER | PHYSICAL OR INTELLECTUAL PROPERTY LOSS / DAMAGE |
| NATURAL DISASTER | FAILED REOURSE |
| NATURAL DISASTER | MULTIPLE |
| TERRORISM/ POLITICAL | FINANCIAL (DIRECT) |
| TERRORISM/ POLITICAL | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| TERRORISM/ POLITICAL | TRADING / MARKET IMPACT |
| TERRORISM/ POLITICAL | PHYSICAL INJURY |
| TERRORISM/ POLITICAL | HUMAN, PERSONAL, PRIVACY RIGHTS |
| TERRORISM/ POLITICAL | PHYSICAL OR INTELLECTUAL PROPERTY LOSS / DAMAGE |
| TERRORISM/ POLITICAL | FAILED REOURSE |
| TERRORISM/ POLITICAL | MULTIPLE |
| MALICIOUS DAMAGE | FINANCIAL (DIRECT) |
| MALICIOUS DAMAGE | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| MALICIOUS DAMAGE | PHYSICAL OR INTELLECTUAL PROPERTY LOSS / DAMAGE |
| DISCLOSURE, SUITABILITY & FIDUCIARY | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | FINANCIAL (DIRECT) |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | TRADING / MARKET IMPACT |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | HUMAN, PERSONAL, PRIVACY RIGHTS |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | PHYSICAL OR INTELLECTUAL PROPERTY LOSS / DAMAGE |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | FINE / PENALTY |
| IMPROPER BUSINESS PRACTICES (AS VICTIM) | FINANCIAL (DIRECT) |
| IMPROPER BUSINESS PRACTICES (AS VICTIM) | TRADING / MARKET IMPACT |
| IMPROPER BUSINESS PRACTICES (AS VICTIM) | PHYSICAL OR INTELLECTUAL PROPERTY LOSS / DAMAGE |

FIG. 6EDECISION MAPPINGS OF COR "EVENT TYPE":
QUESTION 4 (PART II)

| EVENT TYPE: | IMPACT TYPE: |
|-----------------------------------|---|
| TAX VIOLATION | FINANCIAL (DIRECT) |
| TAX VIOLATION | FINE / PENALTY |
| TAX VIOLATION | MULTIPLE |
| ADVISORY ACTIVITIES | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| SPONSORSHIP & SELECTION | FINE / PENALTY |
| SPONSORSHIP & SELECTION | FAILED REOURSE |
| REGULATORY MONITORING / REPORTING | FINE / PENALTY |
| TRANSACTION PROCESSING | FINANCIAL (DIRECT) |
| TRANSACTION PROCESSING | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| TRANSACTION PROCESSING | TRADING / MARKET IMPACT |
| TRANSACTION PROCESSING | FAILED REOURSE |
| TRANSACTION PROCESSING | MULTIPLE |
| CLIENT ACCOUNT ERROR | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| SYSTEM FAILURE | FINANCIAL (DIRECT) |
| SYSTEM FAILURE | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |
| SYSTEM FAILURE | TRADING / MARKET IMPACT |
| SYSTEM FAILURE | MULTIPLE |
| VENDOR DISPUTE | FINANCIAL (INDIRECT, TO CLIENT / 3RD PARTY) |

9/10

FIG. 6F

DECISION MAPPINGS OF COR "EVENT TYPE":
QUESTION 5

| EVENT TYPE: | DUTY TYPE: |
|---|--|
| THEFT/FRAUD (EXTERNAL) | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| THEFT/FRAUD (EXTERNAL) | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| THEFT/FRAUD (EXTERNAL) | NOT SURE/ NOT APPLICABLE |
| THEFT/FRAUD (EXTERNAL) | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| THEFT/FRAUD (EXTERNAL) | INV MANAGER/ FIDUCIARY/ TRUSTEE/ DUTY OF CARE |
| THEFT/FRAUD (INTERNAL) | NOT SURE/ NOT APPLICABLE |
| THEFT/FRAUD (INTERNAL) | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| THEFT/FRAUD (INTERNAL) | INV MANAGER/ FIDUCIARY/ TRUSTEE/ DUTY OF CARE |
| THEFT/FRAUD (INTERNAL) | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| THEFT/FRAUD (INTERNAL) | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| UNAUTHORIZED TRADING | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| UNAUTHORIZED TRADING | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| UNAUTHORIZED TRADING | NOT SURE/ NOT APPLICABLE |
| INFORMATION SECURITY | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| INFORMATION SECURITY | NOT SURE/ NOT APPLICABLE |
| INFORMATION SECURITY | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| PERSONAL SAFETY | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| PERSONAL SAFETY | NOT SURE/ NOT APPLICABLE |
| EMPLOYEE RELATIONS | EMPLOYER |
| DIVERSITY/ DISCRIMINATION | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| DIVERSITY/ DISCRIMINATION | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| DIVERSITY/ DISCRIMINATION | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| DIVERSITY/ DISCRIMINATION | EMPLOYER |
| NATURAL DISASTER | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| NATURAL DISASTER | NO ROLE OR RESPONSIBILITY |
| NATURAL DISASTER | NOT SURE/ NOT APPLICABLE |
| TERRORISM/ POLITICAL | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| TERRORISM/ POLITICAL | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| TERRORISM/ POLITICAL | NOT SURE/ NOT APPLICABLE |
| MALICIOUS DAMAGE | NOT SURE/ NOT APPLICABLE |
| MALICIOUS DAMAGE | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| MALICIOUS DAMAGE | VICARIOUS RESPONSIBILITY FOR EMPLOYEE, AGENT, ETC. |
| MALICIOUS DAMAGE | PARTY TO SPECIFICALLY NEGOTIATED CONTRACT |
| MALICIOUS DAMAGE | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| MALICIOUS DAMAGE | INV MANAGER/ FIDUCIARY/ TRUSTEE/ DUTY OF CARE |
| MALICIOUS DAMAGE | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| MALICIOUS DAMAGE | UNDER DUTY TO DISCLOSE/ OFFER SUITABLE DEALS |
| DISCLOSURE, SUITABILITY & FIDUCIARY | INV MANAGER/ FIDUCIARY/ TRUSTEE/ DUTY OF CARE |
| DISCLOSURE, SUITABILITY & FIDUCIARY | UNDER DUTY TO DISCLOSE/ OFFER SUITABLE DEALS |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | PARTY TO SPECIFICALLY NEGOTIATED CONTRACT |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | NOT SURE/ NOT APPLICABLE |
| IMPROPER BUSINESS PRACTICES (BY FIRM) | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| IMPROPER BUSINESS PRACTICES (AS VICTIM) | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| IMPROPER BUSINESS PRACTICES (AS VICTIM) | PARTY TO SPECIFICALLY NEGOTIATED CONTRACT |
| IMPROPER BUSINESS PRACTICES (AS VICTIM) | NOT SURE/ NOT APPLICABLE |

FIG. 6G.

DECISION MAPPINGS OF COR "EVENT TYPE":
QUESTION 5 (PART II)

| EVENT TYPE: | DUTY TYPE: |
|-----------------------------------|---|
| TAX VIOLATION | NOT SURE/ NOT APPLICABLE |
| TAX VIOLATION | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| ADVISORY ACTIVITIES | INV MANAGER/ FIDUCIARY/ TRUSTEE/ DUTY OF CARE |
| ADVISORY ACTIVITIES | PARTY TO SPECIFICALLY NEGOTIATED CONTRACT |
| ADVISORY ACTIVITIES | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| SPONSORSHIP & SELECTION | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| REGULATORY MONITORING / REPORTING | UNDER DUTY TO DISCLOSE/ OFFER SUITABLE DEALS |
| REGULATORY MONITORING / REPORTING | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| REGULATORY MONITORING / REPORTING | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| REGULATORY MONITORING / REPORTING | VICARIOUS RESPONSIBILITY FOR EMPLOYEE, AGENT, ETC |
| REGULATORY MONITORING / REPORTING | NOT SURE/ NOT APPLICABLE |
| TRANSACTION PROCESSING | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| TRANSACTION PROCESSING | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| TRANSACTION PROCESSING | PARTY TO SPECIFICALLY NEGOTIATED CONTRACT |
| CLIENT ACCOUNT ERROR | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| SYSTEM FAILURE | MEMBER OF GENERAL PUBLIC/ ORDINARY CITIZEN |
| SYSTEM FAILURE | NOT SURE/ NOT APPLICABLE |
| SYSTEM FAILURE | NO ROLE OR RESPONSIBILITY |
| SYSTEM FAILURE | PARTY TO SPECIFICALLY NEGOTIATED CONTRACT |
| SYSTEM FAILURE | EMPLOYEE CONDUCTING INTERNAL, NON-FIDUCIARY TASK |
| SYSTEM FAILURE | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| SYSTEM FAILURE | INV MANAGER/ FIDUCIARY/ TRUSTEE/ DUTY OF CARE |
| VENDOR DISPUTE | ORDINARY CONTRACTUAL/ COMMERCIAL COUNTERPARTY |
| VENDOR DISPUTE | PARTY TO SPECIFICALLY NEGOTIATED CONTRACT |